

PROPERTY & CASUALTY INSURERS

COMPANY NAME: _____ NAIC Company Code: _____

Contact: _____ Telephone: _____

REQUIRED FILINGS IN THE STATE OF: **Arkansas** Filings Made During the Year **2006**

(1) Check- list	(2) Line #	(3) REQUIRED FILINGS FOR THE ABOVE STATE	(4) NUMBER OF COPIES*			(5) DUE DATE	(6) FORM SOURCE**	(7) Applicable Notes	For Internal DOI use Only
			Domestic		Foreign				
			State	NAIC	State				
Initial if Enclosed ↓		I. NAIC FINANCIAL STATEMENTS							
	1	Annual Statement (8 1/2"x14") 1. ORIGINAL 2. DUPLICATE- MARKED "COPY"	2	1	0	3/1	NAIC	A, B, E, F, G, H, I, J, K, L,	
	1.1	Printed Investment Schedule detail (Pages E01-E25)	2	1	xxx	3/1	NAIC	For AR, do not file a separate copy, if this is already included in the binded statement.	
	2	Quarterly Financial Statement (8 1/2" x 14") 1. ORIGINAL 2. DUPLICATE- MARKED "COPY"	2	1	0	5/15, 8/15, 11/15	NAIC	FOREIGN: SEE L & M	
	3	Protected Cell Annual Statement	2	0	xxx	3/1	NAIC		
	4	Combined Annual Statement (8 1/2" x 14")	0	1	0	5/1	NAIC		
		II. NAIC SUPPLEMENTS							
	10	Accident & Health Policy Experience Exhibit	2	1	0	4/1	NAIC		
	11	Combined Insurance Expense Exhibit	0	1	0	5/1	NAIC		
	12	Credit Insurance Experience Exhibit	2	1	xxx	4/1	NAIC		
	13	Financial Guaranty Insurance Exhibit	2	1	0	3/1	NAIC		
	14	Investment Risk Interrogatories	2	1	0	4/1	NAIC		
	15	Insurance Expense Exhibit	2	1	xxx	4/1	NAIC		
	16	Long Term Care Experience Reporting Forms	2	1	xxx	4/1	NAIC		
	17	Management Discussion & Analysis	2	1	0	4/1	Company		
	18	Medicare Supplement Insurance Experience Exhibit	2	1	xxx	3/1	NAIC		
	19	Premiums Attributed to Protected Cells Exhibit	2	1	0	3/1	NAIC		
	20	Reinsurance Attestation Supplement	2	1	xxx	3/1	Company		
	21	Reinsurance Summary Supplemental	2	1	xxx	3/1	NAIC		
	22	Risk-Based Capital Report	1	1	0	3/1	NAIC		

	23	Schedule SIS	2	N/A	N/A	3/1	NAIC		
	24	Statement of Actuarial Opinion	2	1	0	3/1	Company		
	25	Actuarial Opinion Summary	2	xxx	xxx	3/15	Company		
	26	Supplement A to Schedule T	2	1	0	3/1, 5/15, 8/15, 11/15	NAIC		
	27	Supplemental Compensation Exhibit	2	N/A	N/A	3/1	NAIC		
	28	Trusted Surplus Statement	2	1	xxx	3/1,5/15 8/15, 11/15	NAIC		
		III. ELECTRONIC FILING REQUIREMENTS	<u>Domestic and Foreign Companies:</u> As long as you file electronically with the NAIC, you are <u>not required</u> to file electronically with this state.						
	30	Annual Statement Electronic Filing	xxx	1	xxx	3/1	NAIC		
	31	March .PDF Filing	xxx	1	xxx	3/1	NAIC		
	32	Risk-Based Capital Electronic Filing	xxx	1	N/A	3/1	NAIC		
	33	Combined Annual Statement Electronic Filing	xxx	0	xxx	5/1	NAIC		
	34	Combined Annual Statement .PDF Filing	xxx	0	xxx	5/1	NAIC		
	35	Supplemental Electronic Filing	xxx	1	xxx	4/1	NAIC		
	36	Supplemental .PDF Filing	xxx	1	xxx	4/1	NAIC		
	37	Quarterly Electronic Filing	xxx	1	xxx	5/15, 8/15, 11/15	NAIC		
	38	Quarterly .PDF Filing	xxx	1	xxx	5/15, 8/15, 11/15	NAIC		
	39	June .PDF Filing	xxx	1	xxx	6/1	NAIC		
		IV. AUDITED FINANCIAL STATEMENTS							
	51	Accountants Letter of Qualifications	2	N/A	N/A		Company		
	52	Audited Financial Statements	2	1	0	6/1	Company		
	53	Audited Financial Statements Exemption Affidavit	2	N/A	N/A		Company		
	54	Independent CPA	2	N/A	N/A		Company	N	
	55	Notification of Adverse Financial Condition	2	N/A	N/A		Company		
	56	Report of Significant Deficiencies in Internal Controls	2	N/A	N/A		Company		
	57	Request for Exemption to File	2	N/A	N/A		Company	J	
	58	Request to File Consolidated Audited Annual Statements	2	N/A	N/A			Not required for Foreign companies.	

STATE REQUIRED FILINGS FOR THE STATE OF ARKANSAS ONLY

101	Filings Checklist	Required for Domestic Companies <u>only</u> . (With Column 1 completed)	
102	Anti Fraud Assessment	http://www.insurance.arkansas.gov/Fraud/WEB%20PAGE%20-%20General%20Data.doc Due No later than June 30th each year.	
103	ARRUA Form	http://insurance.arkansas.gov/PandC/Datareports.htm Available on line Jan. 2006- Ark Rural Risk Underwriting Assessment Due Annually March 1st	
104	AR166 REPORT	Form can be found at: http://insurance.arkansas.gov/PandC/Datareports.htm . The form is to be emailed to the attention of Nancy.Horton@arkansas.gov , then print the form and send in with the \$50.00 filing fee to the attention of Nancy Horton./Property & Casualty Division. Address in Note B- Due Annually May 1st .	
105	Act 1345- County Fire Loss Annual Report	http://insurance.arkansas.gov/PandC/Datareports.htm The form is to be emailed to the attention of Becky.Harrington@arkansas.gov , as an Excel spreadsheet. Due Annually, June 1st Contact Person: Becky Harrington, becky.harrington@arkansas.gov	
106	Certificate of Deposit	See Note O below for Instructions- Due Annually March 1st	
107	CHIP FORM	http://chiparkansas.org/insurers%20only/ Mandatory AR Comprehensive Health Ins Pool Form Due Annually March 1st	
108	Consumer Credit & Credit Scoring Report	http://insurance.arkansas.gov/PandC/Datareports.htm The form is to be emailed as an Excel spreadsheet to Becky.Harrington@arkansas.gov . Due Annually March 31st Contact Person: Becky Harrington, becky.harrington@arkansas.gov	
109	CFRF Form	http://insurance.arkansas.gov/Accounting/2006%20CFRF%20page.htm Company Financial Regulation Fee- Form will be available on-line March 15. Due Annually June 30th .	
110	Earthquake Market Analysis	http://insurance.arkansas.gov/PandC/Datareports.htm The form is to be emailed to Becky.Harrington@arkansas.gov . Due Annually April 1st Contact Person: Becky Harrington, becky.harrington@arkansas.gov	
111	List of Premium Tax Forms & Due Dates	http://insurance.arkansas.gov/Accounting/2006%20LIST%20OF%20DUE%20DATES.doc Link to Filing Forms: http://insurance.arkansas.gov/Accounting/2006%20premium%20tax%20page.htm	
112	Property & Casualty Guaranty Fund Form	http://insurance.arkansas.gov/Liquidation/divpage.htm Due Annually March 1st —Questions: 501-371-2776	
113	Jurat/Attestation Form	Used for Foreign companies to indicate the Annual Financial Statement has been filed with the NAIC. Foreign companies: Do Not File this for Quarterly Statements. See Note L..	
114	Single State Ark Domestic Insurers Affiliated Transaction Disclosure Form	This form is for Domestic Only . http://insurance.arkansas.gov/Finance/financialstnmthomepagefiles/SingleStateDomesticRegistrationForm3.doc Filed <u>each Quarter</u> with the Company 's financial statements.	
115	State Filing Fees	All filings fees for certificate of authority renewal and annual statement filing fees are included on the premium tax forms. For additional questions, please contact the Accounting Division: 501-371-2605.	

*If XXX appears in this column, this state does not require this filing, if hard copy is filed with the state of domicile and the NAIC and if the data is filed electronically with the NAIC. If N/A appears in this column, the filing is required with the domiciliary state.

**If Form Source is NAIC, the form should be obtained from the appropriate vendor.

		NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)	
	A	Required Filings Contact Person:	Annette Craig, Finance Division Phone: 501-371-2673 Fax: 501-371-2747 Annette.craig@arkansas.gov
	B	Mailing Address for Annual Statement filings:	Arkansas Insurance Department 1200 West Third Street Little Rock, AR. 72201-1904 ATTN: FINANCE DIVISION
	C	Mailing Address for Premium Tax and Filing Fees:	ATTN: ACCOUNTING DIVISION Arkansas Insurance Department 1200 West Third Street Little Rock, AR. 72201-1904 Phone: 501-371-2605 Fax: 501-371-2618
	D	Mailing Address for Premium Tax Payments:	ATTN: ACCOUNTING DIVISION Arkansas Insurance Department 1200 West Third Street Little Rock, AR. 72201-1904 Phone: 501-371-2605 Fax: 501-371-2618
	E	Delivery Instructions:	All filings must be physically received at the Department, no later than the indicated due date. If due date falls on weekend or federal holiday, due date is next business day.
	F	Late Filings:	\$100 per day for late filings without an approved extension.
	G	Original Signatures:	DOMESTIC: Original signatures required on all filings. FOREIGN: follow NAIC instructions.
	H	Signature/Notarization/Certification:	Two of 3 signatures are required on the Annual Statements. They must be signed by either of the following: President or Vice President with either the Secretary or Actuary.
	I	Amended Filings: (Submit to address in Note B listed above) <u>Remember to provide a newly signed jurat page with all amended filings.</u>	Domestic Companies: File 2 copies of the amended items within 10 days of the amendments, including an explanation of the amendment. If there are signature requirements for the original filing; it should be followed for any amendment. Foreign Companies: Not required to file an amended jurat page indicating an amendment. We track these through the NAIC database.
	J	Exceptions from normal filings: Submit requests for extensions/exemptions to : Leo Liu, Manager of Financial Analysis. Mailing address: See Note B	Foreign companies must supply a written copy from <i>state of domicile</i> of any exemption or extension at least 10 days prior to the filing date in order to receive either status from Arkansas. Domestic companies should apply at least <i>30 days prior to due date</i>
	K	Bar Codes (State or NAIC)	Not required

	L	Signed Jurat:	Foreign companies: This form to be sent separately to Arkansas <i>in lieu</i> of hard copy of Annual Financial Statement. This form is verification of submission of the Annual Financial Statement to the NAIC. Date received by the NAIC is considered the date submitted to the Arkansas Insurance Dept. <u>Late fines based on the date received by the NAIC.</u>
	M	Quarterly Financial Statements (including <u>Quarterly Jurat pages</u>)	<u>Not required by Foreign Companies.</u>
	N	Independent CPA	Foreign insurers are not required to notify this Dept. of this change.
	0	Certificate of Deposit : Send under separate cover to: Malisa Landers, Securities Administrator See Note B for mailing address Questions: 501-371-2679 E-mail: Malisa.landars@arkansas.gov	Foreign Companies: Submit one original certificate of deposit from your state of domicile only. Domestics: Not required
	P	Fillings new, discontinued or modified materially since last year.	
		1. Certificate of Valuation	No longer required.
		2. Certificate of Compliance	No longer required.

**General Instructions
For Companies to Use Checklist**

Please Note: This state's instructions for companies to file with the NAIC are included in this Checklist. The NAIC will send mailing labels, and other information, to all companies but will not be sending their own checklist this year.

Electronic filing is intended to include filing via the Internet or filing via diskette with the NAIC. Companies that file with the NAIC via the Internet are not required to submit diskettes to the NAIC.

Column (1) (Checklist)

Companies may use the checklist to submit to a state, if the state requests it. Companies should copy the checklist and place an "x" in this column when mailing information to the state.

Column (2) (Line #)

Line # refers to a standard filing number used for easy reference. This line number may change from year to year.

Column (3) (Required Filings)

Name of item or form to be filed.

The **Annual Statement Electronic Filing** includes the annual statement data and all supplements due March 1, per the *Annual Statement Instructions*. This includes all detail investment schedules and other supplements for which the *Annual Statement Instructions* exempt printed detail.

The **March .PDF Filing** is the .pdf file for annual statement data, detail for investment schedules and supplements due March 1.

The **Risk-Based Capital Electronic Filing** includes all risk-based capital data.

The **Supplemental Electronic Filing** includes all supplements due April 1, per the *Annual Statement Instructions*.

The **Supplemental .PDF Filing** is the .pdf file for all supplemental schedules and exhibits due April 1.

The **Quarterly Statement Electronic Filing** includes the complete quarterly statement data.

The **Quarterly Statement .PDF Filing** is the .pdf file for quarterly statement data.

The **Combined Annual Statement Electronic Filing** includes the required pages of the combined annual statement and the combined Insurance Expense Exhibit.

The **Combined Annual Statement .PDF Filing** is the .pdf file for the Combined annual statement data and the combined Insurance Expense Exhibit.

The **June .PDF Filing** is the .pdf file for the Audited Financial Statements.

Column (4) (Number of Copies)

Indicates the number of copies that each foreign or domestic company is required to file for each type of form. The Blanks (E) Task Force modified the 1999 *Annual Statement Instructions* to waive paper filings of certain NAIC supplements and certain investment schedule detail, if such investment schedule data is available to the states via the NAIC database. The checklists reflect this action taken by the Blanks (EX4) Task Force. XXX appears in the "Number of Copies" "Foreign" column for the appropriate schedules and exhibits. **Some states have chosen to waive printed quarterly and annual statements from their foreign insurers and to rely upon the NAIC database for these filings. This waiver could include supplemental annual statement filings. The XXX in this column might signify that the state has waived the paper filing of the annual statement and all supplements.**

Column (5) (Due Date)

Indicates the date on which the company must file the form.

Column (6) (Form Source)

This column contains one of three words: “NAIC,” “State,” or “Company,” If this column contains “NAIC,” the company must obtain the forms from the appropriate vendor. If this column contains “State,” the state will provide the forms with the filing instructions. If this column contains “Company,” the company, or its representative (e.g., its CPA firm), is expected to provide the form based upon the appropriate state instructions or the NAIC *Annual Statement Instructions*.

Column (7) (Applicable Notes)

This column contains references to the Notes to the Instructions that apply to each item listed on the checklist. The company should carefully read these notes before submitting a filing.